



PTO/SB/21 (09-04)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

1

Application Number

10/585,915

Filing Date

13 July 2006

First Named Inventor

Ning Hu

Art Unit

Unknown

Examiner Name

Unknown

Attorney Docket Number

01992.001US2

ENCLOSURES (Check all that apply)

Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Reply to Missing Parts/
Incomplete ApplicationReply to Missing Parts
under 37 CFR 1.52 or 1.53

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a
Provisional ApplicationPower of Attorney, Revocation
Change of Correspondence Address

Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

☐ Landscape Table on CD

Remarks



After Allowance Communication to TC

Appeal Communication to Board
of Appeals and InterferencesAppeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please identify
below):Form 1449 (1 pg.);
Copies of six cited documents.
Return Postcard.**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

VIKSNINS HARRIS & RADYS PLLP

Signature

Printed name

Danny J. Radys

Date

October 31, 2006

Reg. No.

35,635

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

Lynda Mau

Date

October 31, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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S/N 10/585,915

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Ning Hu <i>et al.</i>	Examiner:	Unknown
Serial No.:	10/585,915	Group Art Unit:	Unknown
Filed:	13 July 2006	Docket:	01992.001US2
Title:	LIPID-BASED DISPERSIONS USEFUL FOR DRUG THERAPY		

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In compliance with 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et. seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicants respectfully request that this Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to MPEP 609, Applicants request that a copy of the Form 1449, initialed as being considered by the Examiner, be returned to the Applicants with the next official communication.

Pursuant to 37 C.F.R. § 1.97, no fee or statement is required with the Information Disclosure Statement. However, the Commissioner is hereby authorized to charge any required fees to Deposit Account No. 503503 in order to have this Information Disclosure Statement considered. The Examiner is invited to contact the Applicants' Representative at the below-listed telephone number if there are any questions regarding this communication.

Respectfully submitted,
Ning Hu *et al.*
By their Representatives,
Viksnins Harris & Padys PLLP
P.O. Box 111098
St. Paul, MN 55111
952-876-4093

Date October 31, 2006

By Danny J. Padys
Danny J. Padys
Reg. No. 35,635

CERTIFICATE UNDER 37 CFR 1.8: I hereby certify that this correspondence is being electronically or facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment; Commissioner for Patents; P.O. Box 1450, Alexandria, VA 22313-1450, on this 31 day of October, 2006.

Lynda Mau
Name

Lynda Mau
Signature

Substitute for form 1449A/PTO and/or 1449B/PTO
**INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**
 (Use as many sheets as necessary)



Complete if Known

Application Number	10/585,915
Filing Date	13 July 2006
First Named Inventor	Ning Hu
Group Art Unit	Unknown
Examiner Name	Unknown

Sheet 1 of 1

Attorney Docket No: 01992.001US2

US PATENT DOCUMENTS

Examiner Initials *	US Document Number	Publication Date	Name of Patentee/Applicant of Document
	5,415,869	May 16, 1995	Straubinger et al.
	5,556,637	September 17, 1996	Hager et al.
	5,741,517	April 21, 1998	Hager et al.

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document Number (include country code)	Publication Date	Translation (Abstract Only or Full Translation, if applicable)
	DE 41 22 661	February 13, 1992	Abstract only
	WO 91/17751	November 28, 1991	
	WO 95/13053	May 18, 1995	
	EP 0 697 214	February 21, 1996	

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Include last name of the first author (in CAPITAL letters), "Title of the Article", Title of the Source (book, magazine, journal, serial, symposium, catalog, etc.), Volume-Number, page(s) and (date).
	International Search Report for International Application Number PCT/US2005/001149, mailed 01/31/2006.
	Dürr et al., "Investigations on mixed micelle and liposome preparations for parenteral used based on soya phosphatidylcholine", <u>European Journal of Pharmaceutics and Biopharmaceutics</u> , 40(3), 147-156 (1994).

EXAMINER

DATE CONSIDERED

Substitute Information Disclosure Statement Form (PTO-1449)

* Examiner: Initial if document considered, whether or not the citation is in conformance with MPEP 609. Draw line through citation if not considered. Include copy of this form with next communication to Applicant.